

Claims

Sub
A1

1. A computer-assisted method for manipulating securities information, comprising:
acquiring securities information from one or more database sources;
identifying one or more portions of the acquired securities information as relating to a particular security; and
creating a computer-readable file having the identified portions.

2. The method of claim 1 further comprising providing access to the computer-readable file over a computer communications link.

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A2

3. The method of claim 1 wherein the acquiring step comprises acquiring the securities information from at least the EDGAR database of the Securities and Exchange Commission.

4. The method of claim 1 wherein the creating step comprises creating the file which contains a prospectus of the particular security.

5. The method of claim 3 wherein the identifying step comprises matching a central index key to any of an internal identification number, a CUSIP number, or a stock exchange ticker symbol, and determining if the identification number, CUSIP number, or stock exchange ticker symbol relates to a particular security.

6. The method of claim 5 wherein the identifying step further comprises:
identifying portions of the acquired securities information as compliance information;
identifying the start and end of the compliance information;
extracting the compliance information from the securities information.

7. The method of claim 6 wherein the identifying step further comprises:
identifying the effective date of the compliance information;

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identifying an amended compliance information item that the compliance information is amending;

determining an effective date of the compliance information from the effective date of the amended compliance information item.

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8. A system for providing access to compliance information, comprising:
an obtainment subsystem for acquiring securities information from one or more database sources and for extracting compliance information to create at least two computer-readable files having at least a portion of the compliance information relating to securities offered to investors by different sources; and
an accessing subsystem for providing access to the computer-readable files over a computer communications link.

9. The system of claim 8 wherein the obtainment subsystem comprises:
an acquisition subsystem for acquiring the securities information by accessing at least the EDGAR database to acquire EDGAR submissions containing the securities information;
a cataloging subsystem for locating the compliance information in the EDGAR submissions; and
a splitting subsystem for extracting the compliance information from the EDGAR submissions.

10. The system of claim 9 further comprising an effective date subsystem for identifying the effective date of the compliance information and a quality assurance subsystem for reviewing the compliance information to assure its correctness.

11. The system of claim 9 wherein the accessing subsystem comprises a document processor for converting the compliance information into another document format.

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Sub A3
12. A computer-readable data storage device comprising computer executable instructions for execution on a computer to cause the computer to aid an operator in performing the steps of:

identifying a subset of documents that were recently added to a document database;
searching each of the subset of documents for desired information;
recording document identifiers for any of the subset of documents containing the desired information;
extracting the desired information from each of the subset of documents containing the desired information by (i) marking the lines of text in the document, (ii) identifying a start line and an end line of the desired information, and (iii) copying the desired information starting at the start line and ending at the end line; and
storing the extracted desired information.

13 The computer-readable data storage device of claim 12 wherein the document database comprises the EDGAR database.

14. The computer-readable data storage device of claim 13 wherein the extracted desired information comprises an effective date.

15. The computer-readable data storage device of claim 14 wherein the stored extracted desired information is stored on a file server.

16. The computer-readable data storage device of claim 12 wherein the lines of text in the document are each marked with a unique number.

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17. The computer-readable data storage device of claim 12 wherein the start line and an end line of the desired information are identified at least two times independently.

18. A method for obtaining desired information from a document database, comprising:

- identifying a subset of documents that were recently added to the document database;
- searching each of the subset of documents for the desired information;
- recording document identifiers for any of the subset of documents containing the desired information;
- extracting the desired information from each of the documents containing the desired information by (i) marking the lines of text in the document, (ii) identifying a start and end line marking at the start and end of the desired information, and (iii) copying the desired information starting at the start line and ending at the end line; and
- storing the extracted desired information.

19. The method of claim 18 wherein the identifying step comprises identifying the subset of documents that were recently added to the EDGAR database.

20. The method of claim 19 wherein the step of extracting the desired information further comprises extracting a date that the desired information is effective.

21. The method of claim 20 wherein the step of storing the information further comprises storing the extracted desired information and the effective date.

22. The method of claim 18 wherein the step of storing the information further comprises storing the extracted desired information on a file server accessible via a computer communications link.

23. The method of claim 18 wherein the sub-step of marking the lines of text in the document comprises numbering the lines of text in the document with a unique number.

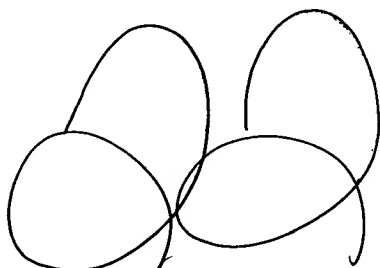
24. The method of claim 18 wherein the sub-step of identifying a start line and an end line of the desired information is accomplished at least two times independently.

25. A system for serving compliance information pages to a client, comprising:
a computer-readable storage medium for storing compliance information of at least one particular security in electronic format;
an indexer for indexing the compliance information and producing an index page comprising page identifiers for each item of compliance information for a particular security; and
a network interface for transmitting the index page for display on a client.

26. The server of claim 25 wherein the compliance information comprises a mutual fund prospectus.

27. The server of claim 25 wherein the indexing is based upon a unique identifier for each security.

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28. A method for retrieving compliance information, comprising:
receiving an identifier unique to a particular security;
transmitting compliance information for the security specified by the identifier.

29. The method of claim 28 wherein the identifier unique to a particular security comprises a CUSIP number.

30. The method of claim 29 wherein the compliance information comprises a mutual fund prospectus.

31. The method of claim 28 wherein the identifier unique to a particular security comprises a stock ticker symbol.

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